



# NASA Policy Directive

**NPD 3713.5G**

Effective Date: June 20, 1997

Expiration Date: January 27, 2008

**COMPLIANCE IS MANDATORY**[Printable Format \(PDF\)](#)

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## **Subject: Minority Group and Disability Reporting and Database Management (Revalidated 01/27/03)**

**Responsible Office: Management Systems Division**

### **1. Policy**

a. The Minority Group and Disability (MGD) status of individual employees and former employees is sensitive and, therefore, must be carefully controlled to protect the privacy of the individuals. Statistical MGD data that cannot be linked to an individual is not sensitive and may be used freely for planning and monitoring equal opportunity programs. Reasonable control of data should be exercised if it is possible to link MGD data to an individual even though unique individual identifiers (i.e., name and social security number) are not included. No report or file with MGD data will be produced when the employee's name or social security number are shown except for the following:

(1) For the submission of automated input to the NASA Agency level system and the Office of Personnel Management (OPM) Central Personnel Data File (CPDF).

(2) For compliance with the Privacy Act.

(3) Under special circumstances specifically authorized in writing by the Center's Equal Opportunity (EO) Officer or the NASA Assistant Administrator for Equal Opportunity Programs.

b. At the Agency level, personnel records containing MGD data for NASA employees and former employees may be maintained only within the Consolidated Agency Personnel/Payroll System (CAPPS) or other systems authorized by the Assistant Administrator for Equal Opportunity Programs.

c. At the Center level, including Headquarters as a Center, personnel records containing MGD data for NASA employees and former employees may be maintained only within the NASA Personnel/Payroll System (NPPS) or the NPPS predecessor system if the data has not been transferred to NPPS.

d. Newly hired NASA employees are asked to voluntarily complete Standard Form 181, Race and National Origin Identification and Standard Form 256. All questions involving the accuracy of an individual's MGD code will be resolved by the EO officer.

e. Release of reports or files from CAPPS that contain MGD data of individuals identified by name or social security number can be authorized only by the Associate Administrator for Equal Opportunity Programs, by law, or by court order.

f. Release of reports or files from NPPS or NPPS predecessor systems that contain MGD data for individuals identified by name or social security number can be authorized only by the EO Officer at the Center or by the NASA Assistant Administrator for Equal Opportunity Programs. Employees are entitled to receive, on request, their own data.

g. Centers must establish appropriate safeguards to ensure the confidentiality of records, protecting against any unauthorized disclosure that could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom information is maintained.

h. Obsolete automated records containing MGD data will be destroyed by overwriting or degaussing. Hard copy data will be destroyed.

i. Whenever MGD information cannot be controlled or supervised in a manner to preclude unauthorized access, it shall be stored in a locked room, filing cabinet, or desk.

j. Access to MGD information will be limited to those individuals who have a need to know and are specifically authorized by the EO Officers. The only employees authorized limited access to MGD information are the following:

- (1) Personnel processing officials responsible for initial identification and coding.
- (2) Computer operators, programmers, and database management personnel involved in file maintenance and report production.
- (3) Employees of EO offices.
- (4) Each individual for his or her own record.

## **2. Applicability**

This NPD applies to NASA Headquarters and NASA Centers, including Component Facilities.

## **3. Authority**

- a. Executive Order 11478.
- b. The Privacy Act of 1974 (5 U.S.C. 552a).
- c. Code of Federal Regulations 29 CFR 1614.601(b).

## **4. References**

None.

## **5. Responsibility**

- a. The Assistant Administrator for Equal Opportunity Programs is responsible for setting NASA policy for collecting and using MGD information and for authorizing release of personal MGD data from CAPPS. Release of reports or files from CAPPS that contain MGD data of individuals identified by name or social security number can be authorized only by the Associate Administrator for Equal Opportunity Programs, by law, or by court order.
- b. The Office of Institutional and Corporate Management, Office of Human Resources, NASA Headquarters, will provide to the Office of the Equal Opportunity Programs the following:
  - (1) Receipt of Minority Group and Disability information from the Centers and maintenance of that data within the Agency level automated system.
  - (2) Production and control of minority statistics and reports.
  - (3) Day-to-day safeguards and accountability of MGD data in CAPPS and derivative files and reports.
- c. Center EO Officers and personnel directors will comply with the privacy and security safeguards in this NPD. They may assign to their subordinates or to other appropriate officials responsibility for the day-to-day operation of the system as well as the responsibility for the safeguarding and protection of individual employee privacy. Release of reports or files from NPPS or NPPS predecessor systems that contain MGD data for individuals identified by name or social security number can be authorized only by the Center's EO Officer or by the NASA Assistant Administrator for Equal Opportunity Programs. EO Officers will ensure proper procedures are followed when new employees choose not to complete their Race and National Origin Identification forms (see 29 CFR 1614.601(b)) and will ultimately assign minority codes for employees who do not wish to self-identify. Every 2 to 3 years, Center EO offices will provide an opportunity for employees to verify and change their disability code. On receipt of completed Race and National Origin Identification Form and Standard Form 256, the Center personnel director will ensure timely input of the data into NPPS.
- d. Individuals using MGD data in the performance of their assigned duties will comply with the privacy and security safeguards in this NPD.
- e. Individuals serving as Contracting Officer's Technical Representatives or task managers on contractual efforts will ensure that contractor personnel are instructed in the use and handling of MGD data, if use of such data is required in the contract.
- f. Centers must establish appropriate safeguards to ensure the confidentiality of records, protecting against any unauthorized disclosure that could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom information is maintained.
- g. Data processing personnel who are responsible for either programming or processing MGD data must adhere to all privacy and security safeguards and procedures required by this NPD. Since the data processing environment differs at each Center, safeguard mechanisms should be built into MGD program development and testing to prevent unauthorized access by other computer applications or individuals. All obsolete automated records

containing MGD data will be destroyed by overwriting or degaussing. Hard copy data will be destroyed.

## 6. Delegation of Authority

None.

## 7. Measurements

Centers have established procedures to safeguard MGD/personnel data, both paper copies and ADP records, covered by this NPD.

## 8. Cancellation

NPD 3713.5F, dated June 20, 1997

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**/s/ Sean O'Keefe**  
**Administrator**

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**Attachment A: (Text)**

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